

FILE NO. A32159-070050.0945

PATENT

#3/A  
mm  
12-19-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Nemo Semret et al.  
Serial No. : 09/383,094 Examiner : Rimell, S.  
Filed : August 25, 1999 Group Art Unit: 2166  
For : SYSTEM AND METHOD FOR ALLOCATING RESOURCES USING  
SPOT MARKET AND DERIVATIVE MARKET TECHNIQUES

AMENDMENT

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November 1, 2001  
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Paul D. Ackerman  
Attorney Name

39,891  
PTO Registration No

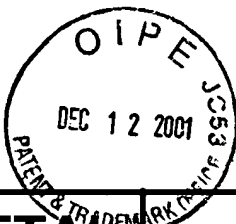
  
Signature

November 1, 2001  
Date of Signature

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

**BAKER BOTTS LLP****FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/383,094
Filing Date	August 25, 1999
First Named Inventor	Nemo Semret et al.
Examiner Name	Rimell, S.
Group Art Unit	2166
Attorney Docket No.	A32159-070050.0945

**TOTAL AMOUNT OF PAYMENT** (\$ ) 0RECEIVED  
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- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	02-4377
Deposit Account Name	Baker Botts LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility filing fee	
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 0**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
12	20 ** = 0	X	= 0
2	3 ** = 0	X	= 0
Independent Claims			
Multiple Dependent			

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	** Reissue independent claims over original patent
18	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 0**SUBMITTED BY**

Name (Print/Type)	Paul D. Ackerman	Registration No. (Attorney/Agent)	39,891	Telephone	212-408-2585
Signature		Date	November 1, 2001		

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**BAKER BOTTS LLP**Please type a plus sign (+) inside this box → ☒

2166

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/383,094
Filing Date	August 25, 1999
First Named Inventor	Nemo Semret et al.
Group Art Unit	2166
Examiner Name	Rimell, S.
Attorney Docket Number	A32159-070050.0945

Total Number of Pages in This Submission

**ENCLOSURES (check all that apply)**

- |   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below): |
|---|---|--|

Remarks

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or  
Individual nameBakerBotts LLP  
30 Rockefeller Plaza  
New York, NY 10112

Signature

Att Name: Paul D. Ackerman  
PTO Reg: 39,891

Date

November 1, 2001

**CERTIFICATE OF MAILING**

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Typed or printed name

Paul D. Ackerman

Signature

Date

November 1, 2001

**BAKER BOTTS** LLP

Attorney Docket Number: A32159-070050.0945

Title:

SYSTEM AND METHOD FOR ALLOCATING RESOURCES USING SPOT MARKET AND DERIVATIVE MARKET  
TECHNIQUES



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